

FORM PTO-1390 (Modified)
(REV. 07-2004)

U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371

SO01-P12

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

10/528895

INTERNATIONAL APPLICATION NO.

PCT/GB2003/004088

INTERNATIONAL FILING DATE

25 SEPT 2003

PRIORITY DATE CLAIMED

25 SEPT 2002

TITLE OF INVENTION

POLARISATION-DEPENDENT OPTICAL FIBRE AMPLIFIER

APPLICANT(S) FOR DO/EO/US

Malcolm Paul VARNHAM, Mikhail Nickolaos ZERVAS and Paul William TURNER

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
 - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☒ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

Items 13 to 23 below concern document(s) or information included:

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. ED 271797507 US
23. ☒ Other items or information:

Return Receipt Postcard; Certificate of Express Mailing; Check for \$450

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INVENTORSHIP VARNHAM, Malcolm Paul et al.
 U.S. SERIAL NO. n/a
 PCT APPLICATION NO. PCT/GB2003/004088
 INTERNATIONAL FILING DATE 14 September 2003
 ATTORNEY DOCKET NO. SO01-P12
 ASSIGNEE Southampton Photonics Ltd.
 TITLE: **POLARISATION-DEPENDENT OPTICAL FIBRE AMPLIFIER**

CERTIFICATE OF EXPRESS MAILING

I hereby declare that I have deposited the below-listed papers with the United States Postal Service "Express Mail Post Office to Addressee" service, addressed and posted as indicated below, in compliance with 37 CFR 1.10. The Express Mail label No. has been placed on one or more of the papers listed.

Express Mail Number: ED 271797570 US
 Date of Deposit: March 23, 2005
 Deposited By: ☒ Delivery to Postal Employee
 ☐ Placed in Drop Box
 Addressee: Mail Stop PCT
 Commissioner for Patents
 P.O. Box 1450
 Alexandria, VA 22313-1450

Listing Of Items Enclosed In Mailing:

1. Return Receipt Postcard (1/2, 2/2)
2. Check for \$450.00
3. Transmittal Letter to the DO/EO/US Concerning Submission under 35 USC 371 (2 pages)
4. Certificate of Express Mailing (1 page)
5. Preliminary Amendment (7 pages)
6. Specification (15 pages, including cover sheet and claims 1-20)
7. Drawings (7 sheets, Figs. 1-25)
8. Copy of PCT publication WO 2004/030165 A1, corresponding to PCT/GB2003/004088
9. Copy of International Preliminary Examination Report (6 pages)
10. Information Disclosure Statement (1 page), plus USPTO Form 1449 (1 page), copy of International Search Report (3 pages) and copy of cited references (5 in all)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statement may jeopardize the validity of the application or any patent issued therefrom.

Dated this 23rd day of March, 2005.

Dated at Spokane, Washington



 John S. Reid